



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FILING COMPLETION UNDER RULE 53(f)

Section  
#  
Box 9

In re PATENT APPLICATION of

Inventors: Keith D. ALLEN, et al.

Appln. No.: 09/816,790

Filed: March 22, 2001

Title: Transgenic Mice Containing Sulfotransferase Gene  
Disruptions

Docket/Order No. R-855  
Deposit Account No. 50-1271

Date: August 3, 2001

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

- The following **completes the filing** under Rule 53(f) of the above-identified patent application:
- ☒ Enclosed is a copy of the Notice to File Missing Parts.
  - ☒ Signed Declaration enclosed ☒ Original / ☐ facsimile/copy
  - ☒ Enclosed is an Assignment and cover sheet. Please return the recorded Assignment to the undersigned.
  - ☒ Enclosed is a diskette containing the sequence listing and the written sequence listing.
  - ☒ Applicants state that the content of the sequence listing information recorded in computer readable form is identical to the written sequence listing and includes no new matter, as required by 37 CFR 1.821.
  - ☒ Applicants hereby claim "small entity" status in accordance with CFR §1.27.

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

7. Basic Filing Fee .....				\$355.	\$	\$355.00	201	
8. Total Claims	33	minus 20 =	13	x	9.	+	117.00	203
9. Independent Claims	14	minus 3 =	11	x	40.	+	440.00	202
10. Multiple Dependent Claims				135.	+	135.00		
11. Surcharge for filing Declaration/filing fee late				65.	+	65.00	205	
12. FILING FEE: <input type="checkbox"/> CHARGE AUTHORIZATION <input checked="" type="checkbox"/> ENCLOSED =				\$ 1,112.00				
13. Original due date: June 8, 2001								
14. Petition is hereby made to extend the original due date to cover the date of this response, for which the requisite fee is enclosed.				\$ 55. / 195.				
				445. / 695.		.00		
15. If Assignment is included, add recording fee .....				\$ 40.	+	40.00	581	
16. TOTAL FEE (enclosed): =				\$1,152.00				

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any missing fees required, or credit any overpayment, to our Account/Order No. shown above, for which a duplicate copy of this sheet is enclosed.

DELTAGEN, INC.

1003 Hamilton Avenue  
Menlo Park, CA 94025  
Tel: (650) 463-5836  
Fax: (650) 752-0202

*Mariette A. Lapiz*  
Mariette A. Lapiz, Reg. No. 44,202

I certify that the enclosed papers are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on August 3, 2001.

*Gayle D. Peterson*  
Gayle D. Peterson



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/816,790	03/22/2001	Allen	R-855

26619  
DELTA GEN, INC.  
ATTN: JOHN E. BURKE  
1003 HAMILTON AVENUE  
MENLO PARK, CA 94025

CONFIRMATION NO. 5557

## FORMALITIES LETTER



\*OC000000006164352\*

10/22/2001 NPPRASASO 00000023 501271 09816790

01 FC:103 18.00 CH

Date Mailed: 06/08/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/10/2001 BNGUYEN1 00000031 09816790

FILED UNDER 37 CFR 1.53(b)

01 FC:201	355.00 OP
02 FC:203	117.00 OP
03 FC:202	440.00 OP
04 FC:205	65.00 OP
05 FC:204	135.00 OP

Filing Date Granted

Adjustment date: 10/23/2001 YGIZAW  
10/22/2001 NPPRASASO 00000023 501271 09816790  
01 FC:103 18.00 CR

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.

*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*

- Total additional claim fee(s) for this application is \$714.

- \$99 for 11 total claims over 20.
- \$480 for 12 independent claims over 3.
- \$135 for multiple dependent claim surcharge.

- The oath or declaration is missing.

*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*

- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

- The balance due by applicant is \$ 1134.

Adjustment date: 10/23/2001 YGIZAW  
08/10/2001 BNGUYEN1 00000031 09816790  
02 FC:203 117.00 OP

Repln. Ref: 10/23/2001 YGIZAW 0016525400  
DA: 501271 Name/Number: 09816790  
FC: 704 \$18.00 CR

10/23/2001 YGIZAW 00000010 09816790

01 FC:203

99.00 OP

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc)


sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

---

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE